

Washington State
Public Works Board
Public Works Trust Fund
Pre-Construction & Construction Loan Programs



Application Forms

	Pre-Construction & Construction Loan Programs	
Eligible Systems	Bridges Roads and Streets Domestic Water Systems Sanitary Sewer Systems Storm Water Systems Solid Waste and Recycling Systems	
	Construction	Pre-Construction
Maximum Loan	\$10 million per jurisdiction per biennium	\$1 million per jurisdiction per biennium
Interest Rates	From 0.5%-2% - linked to local match	From 0.5%-2% - linked to local match
Local Match	Minimum of 5% - linked to interest rate	Minimum of 5% - linked to interest rate
Repayment Period	20 years or life of the improvement whichever is less	5 years (<i>extended to up to 20 years if construction funding is secured by the second loan repayment date</i>)
Submittal Deadlines	Applications must be delivered by 5:00 p.m. or postmarked by midnight on Monday, May 12, 2003	Due by the 15 th of the month in order to be considered at the next Board meeting

Submit one (1) original and four (4) copies

Mail or Ship to:

Public Works Board
Evergreen Plaza Bldg
711 Capitol Way - Suite 102
Post Office Box 48319
Olympia WA 98504-8319
(360) 725-5000

Hand Deliver to:

Public Works Board
Evergreen Plaza Bldg
711 Capitol Way - Suite 102
Olympia, Washington

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SECTION I: APPLICANT INFORMATION

Construction Loan ☐ or Pre-Construction Loan ☐ (Check only one)

Borrower:

Population within Jurisdiction: Percent affected by this project: %

Federal Tax ID #: - City:

State: Zip Code: -

Project Title:

Project Description:

County:

Congressional District: Legislative District(s):

Primary system affected by this project. (Check only one)

<input type="checkbox"/> Bridge	<input type="checkbox"/> Road	<input type="checkbox"/> Domestic Water
<input type="checkbox"/> Storm Sewer	<input type="checkbox"/> Sanitary Sewer	<input type="checkbox"/> Solid Waste/Recycling

Contact Person:

Street Address:

Mailing Address:

Telephone: (_ _) _ _ - _ _ _ _ FAX: (_ _) _ _ - _ _ _ _

Email Address:

Did a consultant prepare this application: ☐ YES ☐ NO

If "YES", Name: Telephone: (_ _) _ _ - _ _ _ _

Total Project Cost: \$

PWTF Loan Request: \$

Useful life of the improvement is: Years.

How many years have you owned/operated this system? Years

Note: The Board may use the following information as potential balancing factors in the selection process. They are not scored as part of the application review process.

Are other local governments served by this project and/or are participating in the funding of the project?

☐ YES

☐ NO

If "YES", identify them and describe the nature of their contributions to the project, including but not limited to: planning, construction, financing, maintenance, right-of-way acquisition, or operation of the project. (Required activities such as permit review/approval, regulatory oversight, etc., are not considered as a contribution to the project.)

Has the local government experienced severe fiscal distress resulting from a natural disaster or emergency public works need in the past five years?

☐ YES

☐ NO

If "Yes," describe the event, when it occurred, and the fiscal distress it caused.

Does this project acquire, expand, improve, or renovate a public water system(s) that is in violation of health and safety standards or does it cover the cost of extending service to such a system?

☐ YES

☐ NO

If "Yes," identify the system(s) and describe the situation.

SECTION II: PROJECT COSTS, SCHEDULE, AND FINANCING

For Pre-Construction Applications, please limit cost estimates to pre-construction activities.

A. Estimated Project Costs

Engineering Report	\$	
Environmental Review	\$	
Land/ROW Acquisition	\$	
Permits	\$	
Public Involvement/Information	\$	
Bid Documents	\$	
Construction	\$	
Other Fees	\$	
Contingency (____%)	\$	
TOTAL ESTIMATED COSTS	\$	

How were these estimates made?

When were these estimates made?

__ / __

B. Proposed Project Schedule:

(Indicate the month and year when the activities were or will be completed)

For Pre-Construction Applications, please limit schedule to pre-construction activities.

Activity	Current Status	Completion Date
Engineering Report		__ / __
Environmental Review		__ / __
Land/ROW Acquisition		__ / __
Permits Obtained		__ / __
Public Involvement/Information		__ / __
Preparation of Bid Documents		__ / __
Award Construction Contract		__ / __
Start Construction		__ / __
Complete Construction		__ / __
Project in Use		__ / __

C. Project Funding

Type of Funding	Source	Amount	Status*	Agreement Date **
Grants				
Grant #1				
Grant #2				
Grant #3				
Total Grants				
Loans				
This PWTF Request	Public Works Board		Proposed	
Other Loan #1				
Other Loan #2				
Total Loans				
Local Revenue				
Source #1				
Source #2				
Source #3				
Total Local Revenue				
Other Funds				
Total Funding				

* Status

Funds are either *in-hand*, *proposed*, or *planned*.

- Funds are *in-hand* if a formal notice of approval or contract for the funds is in place with the funding source. Local revenue must be in an approved budget to be considered *in-hand*.
- Funds are *proposed* if a formal application has been submitted to a funding source, and the funding source considers the application or funding request as having been submitted.
- Funds are *planned* if they are found in a formally adopted Capital Improvement Plan or its equivalent.

** Agreement Date

Enter the date the agreement was signed or is expected to be signed.

Match and Rates

Minimum local match = 5 percent - results in a 2 percent interest rate
 10 percent - results in a 1 percent interest rate
 15 percent – results in a ½ percent interest rate

SECTION III: ELIGIBILITY REQUIREMENTS

A. Sanitary sewer applicants only:

Does the project include repair and/or replacement of side-service sewer connections on privately owned property?

☐ YES

☐ NO

If "YES", the jurisdiction must adopt an ordinance or resolution declaring such repair and/or replacement to be the public policy of the jurisdiction and setting forth the finding of public benefit. The ordinance or resolution must be in place before the application deadline. Attach the ordinance or resolution to this application. Please note, the ordinance must be related specifically to the area affected by this project.

B. Water system applicants only:

Is your Water System Comprehensive Plan current (approved within the last six years) as required by RCW 43.20.050, RCW 90.54.180?

☐ YES

☐ NO

If "NO", please attach a letter from the Washington State Department of Health, Division of Drinking Water, indicating that your system has an approved development schedule for its Water System Plan.

C. Solid waste/recycling system applicants only:

To qualify for loans for solid waste or recycling facilities, a city or county must demonstrate that the solid waste or recycling facility is consistent with and necessary to implement the comprehensive solid waste management plan adopted by the city or county under chapter RCW 70.95.

1. Do you have a current comprehensive solid waste management plan adopted by the city or county under chapter RCW 70.95?
2. Is the project that you are applying for consistent with and necessary to implement the comprehensive solid waste management plan?

1.

☐ YES

☐ NO

2.

☐ YES

☐ NO

D. For counties, cities, and towns only:

Has your jurisdiction adopted the local one-quarter of one percent (.25%) Real Estate Excise Tax (REET) on the sale of real property as permitted by RCW 82.46.010(2)?

☐ YES

☐ NO

If "NO", please contact your Client Services Representative immediately. Do not proceed with filling out this application.

E. For jurisdictions planning under the Growth Management Act:

In order to be eligible for funding, all counties, cities, and towns planning under the Growth Management Act (GMA) must have adopted their Comprehensive Plan and Development Regulations by the Act's designated deadlines or the PWTF application deadline, whichever is later (RCW 36.70A.040). This also includes having no Findings of Non-Compliance or Invalidity Orders pending. For questions regarding your GMA status, contact the Growth Management Unit at (360) 725-3001 (*Public Works Board Staff will verify GMA conformance*).

F. For jurisdictions requesting an exception to the GMA conformance mandate:

Except where necessary to address a public health need or substantial environmental degradation, a county, city, or town planning under RCW 36.70A.040 must have adopted a comprehensive plan, including a capital facilities plan element, and development regulations as required by RCW 36.70A.040.

Are you requesting an exception to this requirement?

<input type="checkbox"/> YES	<input type="checkbox"/> NO
<input type="checkbox"/> YES	<input type="checkbox"/> NO

Do you have a letter from the appropriate agency as stated in RCW 43.155.070, stating "Substantial Environmental Degradation or Public Health and Safety"?

The letter must be postmarked on or before the application deadline. Attach the letter to the application. If you do not have a letter, contact the appropriate state agency and your Client Service Representative before submitting your application.

G. For jurisdictions not planning under the Growth Management Act. The jurisdiction must have adopted a Capital Facilities Plan (CFP) for all of the systems they own on or before the application deadline.

1. Check all systems owned by the jurisdiction.

<input type="checkbox"/> Bridge	<input type="checkbox"/> Road	<input type="checkbox"/> Domestic Water
<input type="checkbox"/> Sanitary Sewer	<input type="checkbox"/> Storm Sewer	<input type="checkbox"/> Solid Waste/Recycling

2. Does each system checked above have an approved Capital Facilities Plan?

<input type="checkbox"/> YES	<input type="checkbox"/> NO
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3. Do the Capital Facilities Plans meet all requirements found below?

<input type="checkbox"/> YES	<input type="checkbox"/> NO
------------------------------	-----------------------------

Planning requirements for jurisdictions not planning under the Growth Management Act

- | | |
|--|--|
| a. The jurisdiction has adopted plans for all of the systems it owns. | e. The planning process provides opportunity for early and continuous public participation. |
| b. The plans provide an inventory of major system components, show their locations and capabilities, and assess the overall capital needs for the systems. The plans identify, prioritize, and coordinate major capital improvement projects over a six-year period. | f. The plans must be consistent with and be elements of the Comprehensive Plan formally adopted by the governing body of the local jurisdiction. |
| c. The plans estimate capital project costs and/or identify financing alternatives for each project identified. | g. The plans must be consistent with the Comprehensive Plans of neighboring jurisdictions. |
| d. The plans have been updated in the last six (6) years. (The Board recommends at least once every two years.) | h. The plans must forecast future needs for the capital facilities; show location and capabilities of expanded or new capital facilities. |

If you do not meet any or all of the above requirements, contact the Public Works Board at (360) 725-5000.

The Board requires that special purpose districts show consistency with the Comprehensive Land Use Plans of the jurisdiction(s) in which they provide service.

H. For special purpose districts within counties, cities, or towns involved in Growth Management planning:

*The Legislature requires the Public Works Board to collect the following data.
(This data has no impact on the eligibility or rating of this application.)*

1. Have the timelines for adopting its Comprehensive Plan been met by the jurisdiction in which this district operates?

☐ YES

☐ NO

2. Have the timelines for adopting its Development Regulations been met by the jurisdiction in which this district operates?

☐ YES

☐ NO

3. Has the Growth Management Hearings Board issued a Finding of Non-Compliance or an Invalidity Order against the jurisdiction in which the district operates?

☐ YES

☐ NO

If "YES", when is this expected to be resolved?

	/		/	
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Responding to HB 1204

HB 1204 passed during the 1999 Legislative session, requiring funding agencies to report on the costs of environmental projects. An environmental project is defined as:

"Land acquisition, facility construction, or other activity providing environmental protections, restoration, enhancement, or compensatory mitigation undertaken by state agencies or funded by state financial assistance programs."

Does any component of this project meet this definition?

☐ YES

☐ NO

If "YES", then approximately how much of this loan will be used to fund the environmental components?

\$

SECTION IV: PROJECT NEED (Total Points for Need = 40)

Note: *This is a highly competitive application process.*

- * All questions are important and must be answered.
- * All answers must stand-alone.
- * Fill out all questions completely.
- * No points will be awarded for unanswered questions.
- * Do not submit plans or similar documents.

A. Identify the primary reason(s) for undertaking this project. (Check all that apply) (No points awarded.)

- | |
|--|
| <input type="checkbox"/> Improve public health and safety |
| <input type="checkbox"/> Improve environmental health and safety |
| <input type="checkbox"/> Improve system performance |
| <input type="checkbox"/> Enhance economic development |

B. Identify the component(s) of the system(s) affected by the proposed project.
(Check all that apply.) **(6 points maximum)**

Bridge/Road	Domestic Water	Sanitary Sewer
<input type="checkbox"/> Principle Arterial	<input type="checkbox"/> Supply/Source - Primary	<input type="checkbox"/> Treatment
<input type="checkbox"/> Minor Arterial	<input type="checkbox"/> Supply/Source - Secondary	<input type="checkbox"/> Interceptor/Trunk Line
<input type="checkbox"/> Major Collector	<input type="checkbox"/> Treatment	<input type="checkbox"/> Pump/Lift Station
<input type="checkbox"/> Minor Collector	<input type="checkbox"/> Storage	<input type="checkbox"/> Collector
<input type="checkbox"/> Local/Other	<input type="checkbox"/> Transmission	<input type="checkbox"/> Telemetry/Equipment Upgrade
	<input type="checkbox"/> Distribution	<input type="checkbox"/> Reclaimed Water/Water Reuse
	<input type="checkbox"/> Telemetry/Equipment Upgrade	
	<input type="checkbox"/> Conservation/Other	<input type="checkbox"/> Conservation/Other

Storm Sewer	Solid Waste/Recycling
<input type="checkbox"/> Storage/Detention	<input type="checkbox"/> Waste Reduction/Recycling
<input type="checkbox"/> Treatment	<input type="checkbox"/> Remedial Action
<input type="checkbox"/> Interceptor	<input type="checkbox"/> Final Disposal
<input type="checkbox"/> Collector	<input type="checkbox"/> Transfer Station
<input type="checkbox"/> Other	<input type="checkbox"/> Other

C. Project Need (34 points maximum)

Describe in detail why the local government intends to complete this project. Describe the seriousness of the problem(s) you are proposing to solve and the benefit you wish to achieve with this project. Describe in specific terms the threat to public health-safety-security, the environment, the performance of the system, or the local economy that the project will avert, or describe the opportunity that the local government will capture by taking the proposed action at this time.

Whenever possible, identify:

1. Any official orders or requirements that impact the need for this project;
2. The number of people who are or will be affected;
3. The impacts that the existing situation has or will have on those people;
4. The impacts that the existing situation has or will have on system operation and expenses;
5. The impacts that the existing situation has or will have on the environment and endangered species;
6. The studies, reports, or other materials that document the situation and its impacts or potential impacts;
7. Any other information/data that will put the need for the project in clear perspective.

(Attach additional pages if necessary. Identify, but do **not** submit studies, plans, reports, or other documents.)

D. Project Scope (Used for contracting purposes) (No points awarded)

Describe in detail what will be done as part of this project. (Example: Resurface approximately 1.5 miles of city streets.)

Please provide a map of the project with your application.

For Pre-Construction Applications, please limit the project's scope of work to pre-construction activities.

E. Performance Measure (No points awarded.)

For each area identified in Section IV A, describe how success will be measured. Be sure to identify how the change will be measured, the standard against which the change will be noted, the amount of change that is expected, and when the change will have occurred.

(Example: By December 2007, the amount of water lost through leaks in the Havensbird area is less than 200 gallons per day, a reduction of 80 percent from 2002.)

SECTION V: LOCAL MANAGEMENT EFFORT (Total Points Available = 60)

General Instructions:

There are three components within the Local Management Effort Section:

1. Maintenance and Operations
2. Administrative, Financial, and Planning
3. Capital Improvements

Each component is worth twenty (20) points.

- a. Each component has two questions, one dealing with past improvements and one dealing with future improvements. Past improvements are worth twelve (12) points and future improvements are worth eight (8) points.
- b. A restorative option allows the jurisdiction to explain why it did not have four past improvements or is not planning to make four improvements in the future.

Examples of when to use the restorative option:

- a. *If the system was formed in the last year, it may not have past improvements. If the situation is adequately explained, the newly formed system may receive all of the points.*
- b. *A jurisdiction may not need to make capital improvements to the system in the next five years other than the proposed project. Points maybe awarded for the answer if the reason is legitimate and adequately explained.*

Important Notes:

1. Do not separate one improvement or activity into multiple components. For example, if four streets are repaved under one contract, then the repavement project is considered one improvement, not four. However, if a system is being upgraded through a number of phases and each phase will be contracted for independently, then each phase is a separate improvement. If you have questions about making this determination, contact your Client Service Representative.
2. Do not use the same improvement or activity more than once. A pipe replacement is either a maintenance project or a capital improvement project. It cannot be considered both.
3. Jurisdictions applying for storm water system improvements which do not have a storm water utility or which have created a utility in the last year may use road system improvements to respond to the Effort questions.
4. Use specific dates. **Do not** use terms such as “recently”, “in the past few years”, “ongoing”, or “yearly”, etc. Each activity must have a specific date.
5. Cite four and only four items in any one answer. The first four items listed in the application will be used to determine the score for the question.
6. Describe the impacts or benefits the improvement or activity have had or are expected to have on the health and safety of the community, the quality of the environment, the status of the local economy, the performance of the system or its administration, or the service that is provided to the users of the system.
7. If a system is taking over another system, use the “history of the system that is acquiring the system” to respond to the appropriate questions.

A. Maintenance and Operations (20 points maximum)

The next two questions relate to the maintenance and operation of the system. When describing **each** modification, include:

1. When the activity occurred or is expected to happen;
2. What was or will be done; and
3. What impact or benefit the activity has had or is expected to have on the system/community.

If the activity was undertaken to comply with a compliance order or similar requirement, please identify the order and the organization that issued the order.

- a. Describe four (4) distinct activities performed on the system between January 1, 1998 to application due date that maintained or improved the system's reliability and/or performance or describe on-going activities that ensure the system's reliability and/or performance. **(12 points maximum)** (Use additional space if necessary.)

- b. Describe four (4) distinct activities to be performed on the system from application due date to January 1, 2008 that will maintain or improve the system's reliability and performance. **(8 points maximum)** (Use additional space if necessary.)

Restorative

If the system has not performed four (4) distinct maintenance and operations activities in the past or is not planning to undertake four (4) activities in the near future, explain why.

B. Administrative, Financial, and Planning (20 points maximum)

The next two questions relate to administering and financing the system. When describing **each** modification, include:

1. When the activity occurred or is expected to happen;
2. What was or will be done; and
3. What impact or benefit the activity has had or is expected to have on the system/community.

If the activity was undertaken to comply with a compliance order or similar requirement, please identify the order and the organization that issued the order.

- a. Describe four (4) distinct activities/modifications made to the system between January 1, 1998 to application due date that improved its financial or administrative status, or describe on-going actions that ensure financial or administrative status, or describe planning processes undertaken to ensure the system operates properly or is in compliance with applicable regulations. (12 points maximum) (Use additional space if necessary.)

- b. Describe four (4) distinct activities/modifications to be made to the system from application due date to January 1, 2008 that will maintain or improve its financial or administrative status or describe four (4) planning documents that will be prepared in the next five years. **(8 points maximum)** (Use additional space if necessary.)

Restorative

If the system has not completed four (4) distinct activities/modifications in the past or is not planning to undertake four (4) distinct activities/modifications in the near future, explain why.

C. Capital Improvements (20 points maximum)

The next two questions relate to capital improvements for the system. When describing **each** modification, include:

1. When the activity occurred or is expected to happen;
2. What was or will be done; and
3. What impact or benefit the activity has had or is expected to have on the system/community.

If the activity was undertaken to comply with a compliance order or similar requirement, please identify the order and the organization that issued the order.

- a. Describe four (4) distinct capital projects made to the system between January 1, 1998 to application due date that maintained, improved, or expanded the system. **(12 points maximum)** (Use additional space if necessary.)

- b. Describe four (4) distinct capital projects that will be made to the system from application due date to January 1, 2008 that will maintain, improve, or expand the system. (You may include this project among the four.) **(8 points maximum)** (Use additional space if necessary.)

Restorative

If the system has not completed four (4) distinct capital projects in the past or is not planning to undertake four (4) distinct capital projects in the near future, explain why.

**WETLANDS DISCLOSURE FORM
(GOVERNOR'S EXECUTIVE ORDER 90-04)**

Is there a wetland, as defined by either U.S. Fish and Wildlife or the Clean Water Act, on the site or within 200 feet?

☐ YES ☐ NO

U.S. Fish and Wildlife Definition

For purposes of this classification wetlands must have one or more of the following three attributes: (1) at least periodically, the land supports predominantly hydrophytes, (2) the substrate is predominantly undrained hydric soil, and (3) the substrate is nonsoil and is saturated with water or covered by shallow water at some time during the growing season of each year.

Clean Water Act Definition

Those areas that are inundated or saturated by surface or groundwater at a frequency and duration sufficient to support, and that under normal circumstances do support, a prevalence of vegetation typically adapted for life in saturated soil conditions. Wetlands generally include swamps, marshes, bogs, and similar areas.

Washington State Four-Tier Wetlands Rating Category: (If yes, mark all that apply.)

Categories _____I, _____II, _____III, _____IV

Are any wetland mitigation measures proposed to avoid impacts from this project?

☐ YES ☐ NO

If yes, please describe.

Will these mitigation measures result in no net loss of wetlands?

☐ YES ☐ NO

Information on this disclosure form was provided by:

Name:

Title:

Phone Number:

Date:

APPLICANT CERTIFICATION

WHEREAS, [REDACTED], is applying to the Washington State Public Works Trust Fund program for a low-interest loan for an eligible project; and

WHEREAS, RCW 43.155.070 requires that applicants planning under RCW 36.70A.040 must have adopted comprehensive plans in conformance with the requirements of chapter 36.70A RCW, and must have adopted development regulations in conformance with the requirements of chapter 36.70A RCW; and

WHEREAS, RCW 70.95 requires a comprehensive Solid Waste Management plan be adopted by the city or county; and

WHEREAS, RCW 43.20.050, requires that applicants have a current water system plan; and

WHEREAS, RCW 43.155.070 requires that county and city applicants must have adopted the local optional one-quarter of one percent Real Estate Excise Tax, as described in Chapter 82.46 RCW; and

WHEREAS, the local governing body has approved submission of this application for a Public Works Trust Fund loan; and

WHEREAS, the applicant recognizes and acknowledges that the information in the application forms is the only information which will be considered in the evaluation and rating process. Incomplete responses will result in a reduced chance of funding. In order to ensure fairness for all, the Public Works Board does not accept any additional written materials or permit applicants to make presentations before the Board; and

WHEREAS, the information provided on the Wetlands Disclosure Form is accurate to the best of the local government's knowledge and ability; and

WHEREAS, it is necessary that certain conditions be met as part of the application process; and

WHEREAS, RCW 43.155.060 requires that the project will be advertised for competitive bids and administered according to standard local procedure; and

WHEREAS, the loan will not exceed the maximum amount allowed by the Board of eligible costs incurred for the project; and

WHEREAS, any loan arising from this application constitutes a debt to be repaid, and (person/title) [REDACTED] has reviewed and concluded it has the necessary capacity to repay such a loan; and

WHEREAS, the information provided in this application is true and correct to the best of the government's belief and knowledge and it is understood that the state may verify information, and that untruthful or misleading information may be cause for rejection of this application or termination of any subsequent loan agreement.

NOW THEREFORE, (name of local government) [REDACTED] certifies that it meets these requirements, and further that it intends to enter into a loan agreement with the Department of Community, Trade and Economic Development, on behalf of the Public Works Board, provided that the terms and conditions for a Public Works Trust Fund loan are satisfactory to both parties.

Signed:	
Title:	
Phone Number:	
Date:	
ATTEST:	

CERTIFICATION BY PREPARER OF APPLICATION
(Staff Member or Consultant)

WHEREAS, [REDACTED] has prepared this application for a Washington State Public Works Trust Fund loan; and

WHEREAS, the preparer recognizes and acknowledges that the information in this application is the only information that will be considered in the evaluation and rating process. Incomplete responses will result in a reduced chance of funding, and that in order to ensure fairness for all, the Public Works Board does not accept any additional written materials or permit applicants to make presentations before the Board; and

WHEREAS, the information provided in this application is true and correct to the best of the preparer's belief and knowledge; and

NOW THEREFORE, [REDACTED] recognizes and acknowledges the above declarations and certifies that this application meets the above requirements.

Signed:	
Title:	
Phone Number:	
Date:	
ATTEST:	